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ABSTRACT

House Bill 1042 requires each school district accredited by the Kansas State Board of Education, public and nonpublic, to adopt not later than January 15, 1974, a written personnel evaluation policy applicable to certificated employees. This includes teachers, administrators, and pupil services personnel such as counselors and librarians. The following elements should be included in any such policy: active community involvement in at least the development of staff evaluation policy; involvement of the certificated staff in the development of the policy; active participation of the staff member being evaluated in his evaluation; and a clear delineation of who is to evaluate whom, how, when, and to what end. This paper suggests a staff evaluation policy development procedure and describes current Kansas procedures as reflected in a 1971 Kansas Association of School Administrators survey. It examines performance based staff evaluation and proposes alternative evaluation criteria and techniques. (Author/WM)

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Professional Improvement and Staff Evaluation

AN INFORMATION PAPER ON KSA 72-9001 to 72-9006 EVALUATION OF CERTIFICATED SCHOOL EMPLOYEES

Kansas State Department of Education
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PROFESSIONAL IMPROVEMENT

AND

STAFF EVALUATION

AN INFORMATION PAPER

ON

KSA 72-9001 TO 72-9006

EVALUATION OF CERTIFICATED SCHOOL EMPLOYEES

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FOREWORD

The intent of this paper is to assist local school districts in the implementation of H. B. 1042 which has to do with evaluation of certificated school employees. It can also facilitate the achievement of statewide goal III having to do with the preparation and continued improvement of professional educational personnel. Staff evaluation policies and procedures can obviously contribute to personnel improvement and this paper is designed to contribute to that end. Hopefully the ideas contained herein can be helpful in this regard. Additionally, the State Department of Education will assist local school districts in whatever ways it can in these and other improvement efforts.

It is important to note that every effort has been made to ensure that the content of this paper is compatible with Attorney General Opinion No. 73-372 dated October 19, 1973 which affords an interpretation of H. B. 1042. Indeed, distribution of the paper was delayed pending receipt of that opinion. Although future legal opinions and judicial decisions will perhaps ultimately establish the meaning of the statute, the State Department of Education did want to provide some assistance within the limits of current legal opinion and educational practice. It is in this spirit that the paper is offered.

C. Taylor Whittier
Commissioner of Education

TALBE OF CONTENTS

TITLE PAGE ---------- 1

FOREWORD ---------- ii

INTRODUCTION ---------- 1

SUGGESTED STAFF EVALUATION
POLICY DEVELOPMENT PROCEDURE ---------- 3

CURRENT KANSAS STAFF EVALUATION PROCEDURES ---------- 5
Alternative Evaluation Criteria ---------- 5
Inputs, Processes, Outputs ---------- 8

PERFORMANCE BASED STAFF EVALUATION ---------- 10

ALTERNATIVE EVALUATIVE TECHNIQUES ---------- 12

CONCLUDING REMARKS ---------- 15

INTRODUCTION

H. B. 1042 requires each school accredited by the State Board of Education, public and non-public, to adopt not later than January 15, 1974 a written personnel evaluation policy applicable to certificated employees. This policy must be filed with the State Board of Education and it must (a) include evaluation procedures applicable to all certificated employees, (b) provide that all evaluations be made in writing and maintained in a personnel file for not less than three years from the date of the evaluation, and (c) provide that beginning not later than the 1974-75 school year, employees in the first two consecutive years of their employment be evaluated at least two times per year, employees in the third and fourth years of employment be evaluated at least one time each year, and after the fourth year, employees be evaluated at least once in every three years.[1]

Although the great majority of Kansas school districts already have a staff evaluation system, in many cases the system is not a matter of policy, in most instances it is confined to the evaluation of teachers, and frequently it does not satisfy requirements relative to frequency of evaluation which are specified in the law. Thus it is likely that many Kansas districts will have to modify their current staff evaluation procedures in line with these criteria.

Additionally, H. B. 1042 provides that evaluation policies adopted under the act should meet the following guidelines or criteria:

* That evaluation policies should reflect prevailing community attitudes toward the educational program

* That policies be developed by the board with joint efforts of the persons responsible for making the evaluations, persons being evaluated, and community interests

* That the board is to place primary responsibility for making evaluations on the administrative staff

* That persons who are to be evaluated should be given an opportunity to participate in their evaluation[2]

Although some of the above wording is sufficiently vague to afford a variety of options and alternatives, it is perhaps clear that the following elements should be incorporated in any staff evaluation policy established by a Kansas school district after January 15, 1974 if the school district is to meet the letter and intent of the law.

* All certificated staff must be evaluated. This includes teachers, administrators, and pupil services personnel such as counselors, librarians, etc.

* Active community involvement in at least the development of staff evaluation policy

* Involvement of the certificated staff in the development of said policy

* Active participation of the staff member being evaluated in his evaluation

* A clear delineation of who is to evaluate whom, how, when, to what end

The remainder of this paper attempts to provide assistance to school district personnel who must develop or modify staff evaluation procedures in their district in accordance with H. B. 1042. The suggestions provided herein are just that; they are not prescriptive in any way. The law makes perfectly clear that the State Board has no approval power over local district staff evaluation policies but rather is charged with assuring that such policies are developed and filed, and with enforcing this requirement

through the accreditation mechanism.

The point also needs to be made that the suggestions put forth hereafter entail only one of a number of alternative procedures a school district might employ in the development or modification of staff evaluation policy which satisfies the requirements of H. B. 1042. They are posed in the spirit of offering assistance to local boards and district personnel which these groups can ignore if they so choose. Certainly local school systems are free to use their own procedures in developing and implementing staff evaluation policies. The only requirement is that such policies must satisfy the requirements of the law. The procedures suggested in this paper are intended to assist local school systems in ensuring that their staff evaluation policies do in fact satisfy statutory requirements.

SUGGESTED PROCEDURES FOR DEVELOPING AND/OR MODIFYING STAFF EVALUATION POLICY

Formation of a Staff Evaluation Committee

Perhaps a logical first step is the formation of an inclusive committee whose responsibility would be to participate with the local board in the development, implementation, and administration of a district staff evaluation policy. Such a committee might logically number between 10-20 members and should include representation from the community. As an example, such a committee in a typical Kansas school district might be structured as follows:

* Classroom teachers - 3
* Building administrators - 2
* Central office administrators - 1
* Pupil services personnel - 2
* Community - 3

It is suggested that each member group should select its own representatives on the committee, that a board member should be included from the community, and that representation should be proportional in light of staff size and community population.

Delineate the Functions of the Staff Evaluation Committee

The law makes clear that ultimate responsibility for the development of staff evaluation policy rests with the local board. This does not negate an active participatory role by the committee, however. Assuming formation of a committee, the next logical step would be to identify its functions and responsibilities. It will be recalled that local boards are required to file their staff evaluation policy by January 15, 1974. Thus the suggested functions put forth in this section are those things a committee would have to accomplish by that date. After that date, when the policy is implemented, the committee could well have a role in its operation. Such a role might entail use of the committee as a hearing and recommending body in staff evaluation grievances which arise. Also, the committee could well monitor the effectiveness of the staff evaluation system and suggest changes as deemed appropriate. Additional functions of such a committee might be locally determined in light of current and past practices, tradition, available expertise, and any other factors which are locally applicable.

Suggested Functions Prior to January 15, 1974

* Study H. B. 1042 and become thoroughly familiar with its provisions

* Assess current staff evaluation procedures in relation to requirements of H. B. 1042

* Identify discrepancies between current practice and statutory requirements

* Develop a staff evaluation policy so as to meet statutory requirements. This policy should clearly specify:
  - Who is to evaluate whom
  - On what basis people will be evaluated
  - How the evaluation will be accomplished
  - When people will be evaluated
  - What will be done with evaluation data

* Obtain reactions from teachers, administrators, pupil services personnel, and community to the proposed policy

* Modify proposed policy in light of feedback from these groups

* Conduct open meeting to discuss revised policy

* Present policy to local board for adoption

* Prepare to assist in implementation and administration of the adopted policy

Figure 1 illustrates the policy development procedure suggested above and incorporates a time line for completion of the various phases of the procedure. Following the figure is a brief discussion of possible alternatives in two elements of a staff evaluation policy - evaluation criteria (on what bases people will be evaluated) and evaluative techniques (how the evaluation will be accomplished) - which reflects current Kansas practice and national trends in this dimension of educational personnel policies.

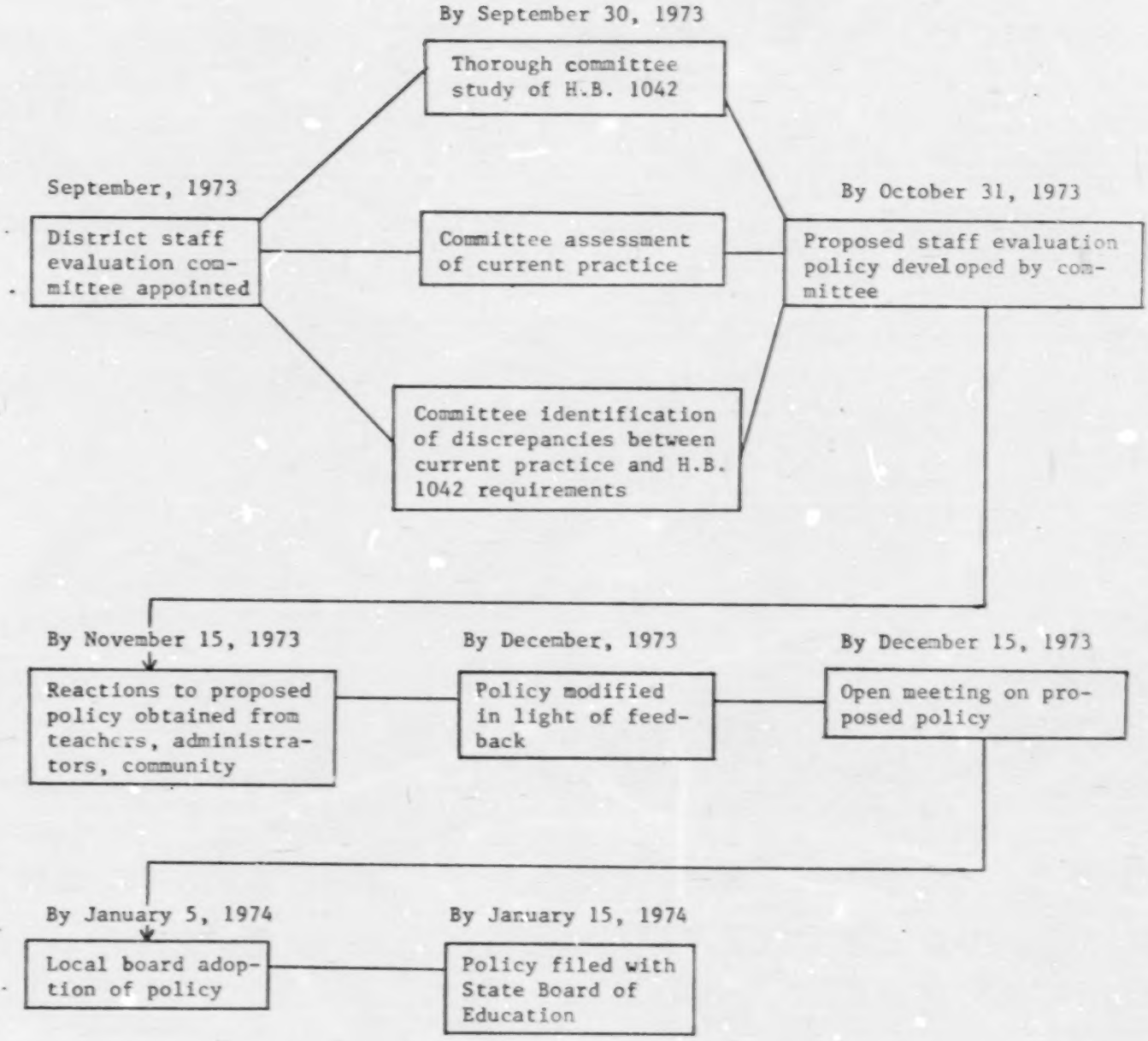
CURRENT KANSAS STAFF EVALUATION PROCEDURES

Alternative Evaluation Criteria

A survey of teacher evaluation policies and procedures in the state was conducted by the Research Committee of the Kansas Association of School Administrators in the fall of 1971.[3] Teacher evaluation instruments and policies pertaining to their use were solicited from the state's school districts. Seventy-one (71) instruments were received and fifty-six percent (56%) of these were accompanied by policy statements describing their use. These instruments were analyzed with the following questions in mind:

* What kinds of evaluation instruments are being used in the state - open ended, rating scale, combination, other?

FIGURE 1


By September 30, 1973
Thorough committee study of H.B. 1042
September, 1973
District staff evaluation committee appointed
Committee assessment of current practice
By October 31, 1973
Proposed staff evaluation policy developed by committee
Committee identification of discrepancies between current practice and H.B. 1042 requirements
By November 15, 1973
Reactions to proposed policy obtained from teachers, administrators, community
By December, 1973
Policy modified in light of feedback
By December 15, 1973
Open meeting on proposed policy
By January 5, 1974
Local board adoption of policy
By January 15, 1974
Policy filed with State Board of Education

SUGGESTED STAFF EVALUATION POLICY DEVELOPMENT
FLOW CHART

* What characteristics of teachers are being evaluated?

* Who does the evaluation?

* How frequently?

* What is the major purpose of the evaluation?

* What follow-up activities accompany the use of the instrument?

Concerning the second question having to do with the kinds of teacher characteristics being evaluated, the instruments suggested six (6) major categories of characteristics. These are listed briefly below with examples of the most frequently mentioned characteristics in each category.

Category: Professional Attitudes

Frequently mentioned characteristics in this category included staff relations, works well with others, ethical, positive attitude toward work and profession, cooperates with administrative staff, adheres to policies and regulations, and continuation of education.

Category: Instructional Skills

The most frequently mentioned characteristics in this category included plans and prepares for effective instruction, knowledge of subject matter, utilizes a variety of teaching methods, and provides for individual differences.

Category: Personal Characteristics

Most frequently included in evaluation instruments in this category were appearance, voice and speech, enthusiasm, punctuality and dependability, health, and poise.

Category: Classroom Management

Characteristics most frequently mentioned in this category included appropriate handling of discipline, rapport with students, clearness of expression and ideas, fair with pupils, and classroom appearance.

Category: Record-keeping, Classroom Physical Environment

High frequency characteristics in this category included attention to records and other routines, neatness, regulation of heat, lighting, etc., and condition of books, supplies, and equipment.

Category: Social and Community Effectiveness

Characteristics mentioned most frequently in this category included interest in community life, rapport with patrons, and community relations.

Inputs, Processes, Outputs

The categories and characteristics noted above can be viewed as inputs to the educational program, processes descriptive of the educational program in action, or outputs of the educational program. For purposes of this discussion, these terms are defined as follows:

Inputs - Conditions, characteristics, resources which are considered necessary for the operation of an educational program. Examples of inputs are per pupil expenditure, class size, facilities, teacher preparation and experience levels, and library volumes per student.

Processes - Procedures, methods, patterns of relationships which characterize an ongoing educational program. Examples of processes are curriculum organization, teaching methods, instructional techniques, and classroom verbal interaction patterns.

Outputs - Results, products of the educational program. Examples of outputs are pupil achievement levels, dropout rate, attitudes toward school, percent of students pursuing post-secondary education, and percent of students successfully entering the world of work.

If one looks at those characteristics most frequently evaluated in the 1971 KASA survey within this framework, it is immediately apparent that:

* The great preponderance of them are either input or process factors. Characteristics such as neatness, regulation of heat and lighting, voice and speech, appearance, knowledge of subject matter,

and continuation of education are clearly inputs to the educational program which it is assumed contribute to desirable processes and outputs. Characteristics such as staff relations, works well with others, utilizes a variety of teaching methods, provides for individual differences, and rapport with students are clearly processes of the educational program which it is assumed contribute to desirable program outputs.

* Almost none of them are output factors. In essence, as reflected in the 1971 KASA survey, teachers were not evaluated in terms of student achievement and attitudes, attainment of instructional objectives, the dropout rate, and other desired educational program outputs.

This information is of immediate practical import to practitioners in light of H. B. 1042. The very clear intent of that statute is "to provide for a systematic method for improvement of school personnel in their jobs and to improve the educational system of this state."[4] Section 4 of the Act identifies those qualities and attributes to be evaluated and includes input, process, and output factors. It is important to point out, however, that educational research provides scant evidence of cause and effect relationships between either input or process factors and outputs such as student achievement and attitudes.

Given the lack of clearly established links among these factors and the press for accountability in terms of results, perhaps some districts might wish to pursue staff evaluation procedures which assess performance in terms of progress toward specified goals and objectives. The development of such a system - which would be applicable to all certificated district personnel - might logically proceed as described below. In very general terms, there would be agreement as to those tasks professional staff members would be expected to accomplish, under what conditions, in what time period, and evaluation would assess the degree of completion of

these agreed tasks.

PERFORMANCE BASED STAFF EVALUATION

The first step in development of a performance based staff evaluation system would be the identification of educational goals for the school district and/or building in question. Goals are broad statements of intent which describe desirable characteristics that students should possess upon completion of the building's or district's educational program. As an example, an educational goal statement which was developed in Pennsylvania's Quality Education Program Study is:

> * Quality education should help every child acquire understanding and appreciation of persons belonging to social, cultural, and ethnic groups different from his own.

Such a goal statement is obviously too broad to be of much assistance in providing direction for program improvement or for assessing staff members's performance. There needs to be more specificity and this can be achieved by developing program and instructional objectives deriving from the goal which can logically contribute to its achievement.

As an example, an appropriate objective for the Language Arts program relative to this goal might be:

> * To incorporate selections by minority group authors into the eleventh grade Survey of Current American Literature course.

An instructional objective for this course which derives logically from the broad school district goal and the Language Arts program objective might well be:

> * After reading and discussing selected works by four contemporary black authors, eighty (80) percent of the students in the Survey of Contemporary American Literature course will be able to write an essay describing the dominant values of the black culture as to family patterns, education, food, and music which is judged eighty percent accurate by a panel of black readers.

The effectiveness of the Language Arts program can be assessed in terms of whether or not the program objective is achieved and the teacher(s) of the course can also be evaluated in light of the degree of achievement of the instructional objective.

The discussion thus far has centered on program and teacher evaluation but it is also possible to evaluate other certificated staff utilizing this format. As an illustration, an appropriate objective for the Guidance program relative to the broad goal noted above might be:

* To introduce inter-cultural group counseling sessions into the junior high school guidance program.

A specific performance (instructional) objective for the junior high school counselor(s) which derives logically from the broad goal and program objective could be:

* To structure and conduct monthly inter-cultural group counseling sessions which result in decreased black-white student confrontations, increased home visits across cultures, and more frequent cross-cultural "buddy systems."

As to administrator evaluation, the building principal could well be evaluated in terms of his contribution to the realization of the illustrative Language Arts program objective which was noted above. A performance objective for the principal relative to this broad goal and program objective might logically be:

* To provide the Language Arts faculty with at least three (3) alternative sources of minority authored literary materials for incorporation into the eleventh grade course on contemporary literature.

Another performance objective for the principal relative to the goal but not specifically related to the Language Arts program could be:

* To structure a system of home visitations whereby majority group teachers visit the homes of their minority group students at least twice during the school year.

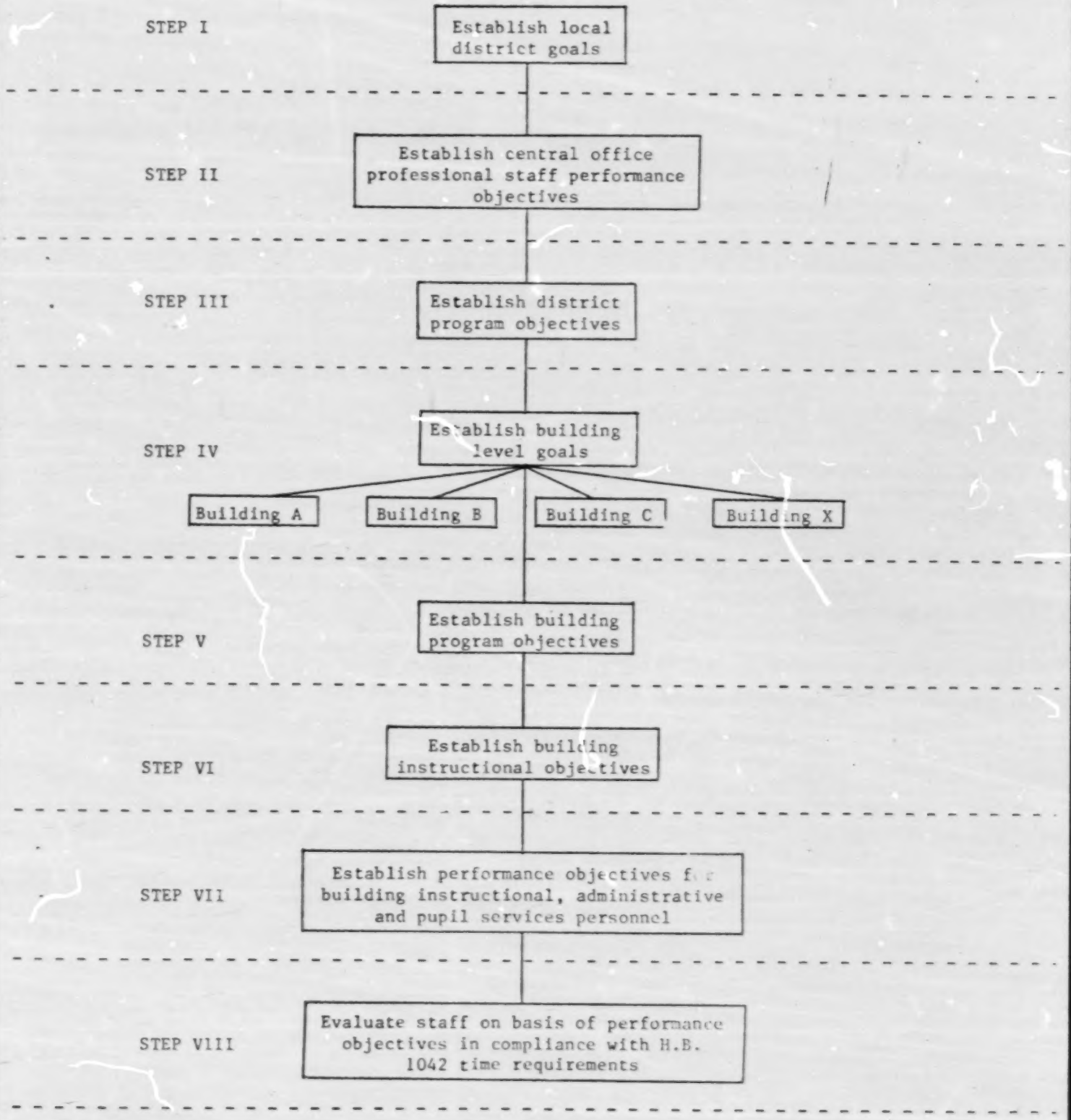
It is perhaps by now obvious to the reader that the Performance Based Staff Evaluation procedure described in this section is equally applicable to all certificated staff and is not restricted to the evaluation of instructional personnel. Figure Two represents a visual presentation of the phases or steps in this procedure which have been described above and their relationships in terms of time. The steps are accomplished in sequence from top to bottom of the figure.

Very simply, performance based staff evaluation entails establishing educational goals, sharpening up the goals in the form of program and instructional objectives, developing job descriptions in terms of performance objectives which contribute to goal achievement, and personnel evaluation in terms of the degree of accomplishment of performance objectives. As was noted earlier in this paper, such an evaluation policy is very compatible with the current call for accountability and articulates very well with the new district-wide accreditation procedure which is being implemented in a number of Kansas school districts.

ALTERNATIVE EVALUATIVE TECHNIQUES

Regardless of whether a given staff evaluation policy emphasizes input, process, or output factors, data must be gathered as to the degree to which staff members are exhibiting desired characteristics. These data can be gathered in a variety of ways including observation, necklists, evaluation conferences, and a host of others. Following is a list of evaluation techniques culled from the literature which might appropriately be used in a school district staff evaluation system. The list is by no means inclusive.

FIGURE 2



PERFORMANCE BASED STAFF EVALUATION PROCEDURE

* Assessment of performance objective completion
* Rating scales
* Checklists
* Observation
* Anecdotal records
* Autobiography
* Interview
* Conference
* Student behavioral measures
  - Achievement
  - Attitudinal
  - Social
  - Psychological
* Role playing
* Self-evaluation
* Verbal projective techniques
* Performance tests
* Interaction analysis
* Critical incident techniques
* Sociometry
* Criterion questionnaires
* Standardized questionnaires

Two points need to be emphasized concerning the selection of data-gathering techniques in a staff evaluation system. The first is that the techniques which are employed must yield data that are reflective of those characteristics and factors which are being evaluated. As an example, if a performance objective of a building principal is to develop a home visitation system designed to reduce student absenteeism twenty-five percent in a year, then a questionnaire to parents soliciting their attitudes about the desirability of home visitations would not provide appropriate data to assess the principal's performance relative to this objective.

Secondly, data-gathering techniques should be compatible with what it is they are trying to measure. Illustratively, if a district's staff evaluation system emphasizes input characteristics such as neatness, voice and speech, and appearance then a checklist or rating scale incorporating characteristics to be assessed would be appropriate. On the other hand, should the system emphasize output factors in terms of performance objectives, then periodic assessment interviews in which the staff member pro-

vides evidence as to the degree of achievement of specified performance objectives would be a most appropriate data-gathering technique. All of this is to say that the measurement (data-gathering) aspect of a district's staff evaluation program should be locallly determined and should depend largely upon the kinds of employee characteristics which are being evaluated.

CONCLUDING REMARKS

The purpose of this paper has been to provide assistance to local boards in the preparation of original policies of staff evaluation or amendments thereto. The State Board is charged with this responsibility in Section 6 of H. B. 1042.

To this end, the following topics have been treated in the order indicated:

* Requirements of H. B. 1042
* A suggested staff evaluation policy development procedure
* Current Kansas staff evaluation procedures as reflected in a 1971 KASA survey
* Performance based staff evaluation
* Alternative evaluation criteria
* Alternative evaluative techniques

As was emphasized in the introduction, this paper is merely suggestive and is in no way prescriptive. Local district personnel may utilize or ignore the suggestions contained herein as they see fit in the development or modification of staff evaluation policies. The position of the State Board is that it is willing to help but does not wish to prescribe (nor can it legally do so) in this matter.

NOTES

1. Kansas State Department of Education, Educational Legislation, 1973 Sessions, Topeka, 1973, p. 68.

2. Ibid.

3. Veitch, William R., "Teacher Evaluation Survey Reported", KASA Newsletter, May 1972, p. 6.*

4. Op. cit., Educational Legislation, 1973 Session, p. 67.

* Complete results of this survey may be obtained from J. Sarthory in KSDE, Topeka.